

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: William R. Hambrecht, Othar Hansson, Jordan M. Hayes, Alan Katz, Charles A. Ocheret, and Matt Regan

Application No.: 10/632,818

Group No.: 3691

Filed: 08/04/2003

Examiner: Campen, K.

For: Auction System and Method for Pricing and Allocation During Capital Formation

Mail Stop Amendment

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

AMENDMENT TRANSMITTAL

1. Transmitted herewith is an amendment for this application.

STATUS

2. Applicant is a small entity. A statement was already filed.

EXTENSION OF TERM

3. The proceedings herein are for a patent application and the provisions of 37 C.F.R. 1.136 apply. Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition for extension of time.

FEE FOR CLAIMS

4. The fee for claims (37 C.F.R. 1.16(b)-(d)) has been calculated as shown below:

	(Col. 1)	(Col. 2)	(Col. 3)	SMALL ENTITY			
	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDIT. FEE		
TOTAL	34	— 34	= 0	x \$ 26.00	= \$		0.00
INDEP.	3	— 3	= 0	x \$ 110.00	= \$		0.00
FIRST PRESENTATION OF MULTIPLE DEP. CLAIM			+	\$ 0.00	= \$		0.00
				TOTAL ADDIT. FEE	\$		0.00

No additional fee for claims is required.

FEE DEFICIENCY

5. If an extension and/or fee is required, charge Account No. 19-4972.

If a fee for claims is required, charge Account No. 19-4972.

Date: December 4, 2008

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